

STIC Database Tracking Number: 239705

To: HARISH DASS
Location: KNX-5A61
Art Unit: 3692
Wednesday, October 10, 2007

Case Serial Number: 09/890815

From: PAUL OBINIYI
Location: EIC3600
KNX-4B68 / KNX-4C25
Phone: (571)272-7734

paul.obiniyi@uspto.gov

Search Notes

Dear Examiner DASS:

Attached please find the results of your search. Please feel free to contact me if you have additional questions or would like a re-focus search. Thank you and have a great day.

Paul



STIC EIC 3600

Fast & Focused Search Request

Today's Date: 10/9/07 Class/Subclass 7051 What date would you like to use to limit the search? Priority Date: 11/3/1999 Other: _____

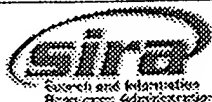
Name <u>HARISH DAS</u>	Format for Search Results (Circle One): PAPER DISK EMAIL
AU _____ Examiner # _____	Where have you searched so far?
Room # _____ Phone _____	USP DWPI EPO JPO ACM IBM TDB
Serial # <u>09/890,815</u>	IEEE INSPEC SPI Other _____

A "Fast & Focused" Search is completed in 2-3 hours (maximum). The search must be on a very specific topic and meet certain criteria. The criteria are posted in EIC3600 and on the EIC3600 NPL Web Page at <http://ptoweb/patents/stic/stic-tc3600.htm>.

What is the topic, novelty, motivation, utility, or other specific details defining the desired focus of this search? Please include the concepts, synonyms, keywords, acronyms, definitions, strategies, and anything else that helps to describe the topic. Please attach a copy of the abstract, background, brief summary, pertinent claims and any citations of relevant art you have found.

① a ✓
② b

STIC Searcher Paul (bmy) Phone 20734
Date picked up 10/9/07 Date Completed 10/10/07



AMENDMENTS TO THE CLAIMS

1. (Currently Amended) A method for facilitating the mutual exchange of securities and cash, comprising:

receiving a plurality of first indications of offers to lend a security from respective lenders, each of the offers to lend a security indicating a corresponding quantity of the security and a corresponding fee;

receiving a plurality of second indications of offers to borrow the security from respective borrowers, each of the offers to borrow the security indicating a corresponding quantity of the security and a corresponding fee;

a1 matching one of the offers from one lender of the lenders with one of the offers from one borrowers of the borrowers based on the corresponding quantity and the fee; and

sending respective notifications a notification of a transaction between the one lenders and the one borrower based on the matched offer.

(a)

(b)

2. (Original) The method of claims 1, further comprising recording the transaction in a database electronically accessible to a plurality of borrowers and lenders over at least one computer network and least one computer.

a2 3. (Currently Amended) A computer system comprising a memory and one or more processors, configured to perform the steps of:



STIC Search Results Feedback Form

EIC 3600

Questions about the scope or the results of the search? Contact *the EIC searcher* or contact:

Karen Lehman, EIC 3600 Team Leader
KNX 4A58, 571-271-3496

Voluntary Results Feedback Form

➤ I am an examiner in Workgroup: Example: 3620 (optional)

➤ Relevant prior art **found**, search results used as follows:

- ☐ 102 rejection
- ☐ 103 rejection
- ☐ Cited as being of interest.
- ☐ Helped examiner better understand the invention.
- ☐ Helped examiner better understand the state of the art in their technology.

Types of relevant prior art found:

- ☐ Foreign Patent(s)
- ☐ Non-Patent Literature
(journal articles, conference proceedings, new product announcements etc.)

➤ Relevant prior art **not found**:

- ☐ Results verified the lack of relevant prior art (helped determine patentability).
- ☐ Results were not useful in determining patentability or understanding the invention.

Comments:

Drop off or send completed forms to EIC3600 PK5 Suite 804



OR CONFORM OR ASSOCIAT??? OR MAPP??? OR LINK??? OR COUPL??? OR JOIN??? OR RELAT?? OR
RELATIONSHIP? ? OR INTERRELAT?? OR INTERCONNECT??? OR CONNECT??? OR INTERDEPEND? OR
INTERACTION OR AFFILIATION? OR ASSOCIATION? OR RELAT???)

S5 3026104 S (REVENUE? ? OR FEE? ? OR PAYMENT? ? OR COST? ? OR PRICE? ? OR CHARGE?
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LINK??? OR COUPL??? OR JOIN??? OR RELAT?? OR RELATIONSHIP? ? OR INTERRELAT?? OR
INTERCONNECT??? OR CONNECT??? OR INTERDEPEND? OR INTERACTION OR AFFILIATION? OR
ASSOCIATION? OR RELAT???)

S6 2322895 S (NOTIFICATION OR NOTIFY OR NOTIFYING OR ANNOUNC? OR ALERT??? OR ADVIS???
OR INFORM??? OR POST??? OR REPORT???) (7N) (SUBMITTING OR SUBMIT OR SEND OR SENDING OR
TRANSFER OR TRANSFERRING OR FORWARD OR FORWARDING OR PASS OR PASSING OR TRANSMIT OR
TRANSMITTING OR COMMUNICATE OR COMMUNICATING OR EXCHANG?)

S7 4533 S MUTUAL(3N) EXCHANGE(3N) SECURIT???

S8 163 S AU=(LOCKWOOD, D? OR LOCKWOOD D? OR LOCKWOOD(2N) DAVID)

S9 4 S S8 AND S1

S10 112606 S S1(7N) S2

S11 3108 S S10(7N) S3

S12 62 S S11(7N) S4

S13 4 S S12(7N) S5

S14 3 S S13 NOT S9

S15 0 S S12(7N) S6

S16 0 S S12(7N) S7

S17 19 S S12 NOT PY>1999

S18 18 S S17 NOT (S9 OR S13)

**File 624: Homeland Security & Defense and 9 Plat energy journals added Please see HELP NEWS624 for more*

[File 634] **San Jose Mercury** Jun 1985-2007/Oct 05

(c) 2007 San Jose Mercury News. All rights reserved.

[File 636] **Gale Group Newsletter DB(TM)** 1987-2007/Oct 08

(c) 2007 The Gale Group. All rights reserved.

[File 810] **Business Wire** 1986-1999/Feb 28

(c) 1999 Business Wire . All rights reserved.

[File 813] **PR Newswire** 1987-1999/Apr 30

(c) 1999 PR Newswire Association Inc. All rights reserved.

[File 625] **American Banker Publications** 1981-2007/Oct 03

(c) 2007 American Banker. All rights reserved.

[File 268] **Banking Info Source** 1981-2007/Sep W2

(c) 2007 ProQuest Info&Learning. All rights reserved.

[File 626] **Bond Buyer Full Text** 1981-2007/Oct 04

(c) 2007 Bond Buyer. All rights reserved.

[File 267] **Finance & Banking Newsletters** 2007/Oct 01

(c) 2007 Dialog. All rights reserved.

[File 348] **EUROPEAN PATENTS** 1978-2007/ 200739

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**File 348: For important information about IPCR/8 and forthcoming changes to the IC= index, see HELP NEWSIPCR.*

[File 349] **PCT FULLTEXT** 1979-2007/UB=20070927UT=20070920

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**File 349: For important information about IPCR/8 and forthcoming changes to the IC= index, see HELP NEWSIPCR.*

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Set	Items	Description
S1	4147427	S (OFFER? ? OR PROGRAM? OR SALE? ? OR QUOTE? ? OR BID? ?) (7N) (MATCH?? OR CORRESPOND? OR CORRELAT??? OR CONFORM OR ASSOCIAT??? OR MAPP??? OR LINK??? OR COUPL??? OR JOIN??? OR RELAT?? OR RELATIONSHIP? ? OR INTERRELAT?? OR INTERCONNECT??? OR CONNECT??? OR INTERDEPEND? OR INTERACTION OR AFFILIATION? OR ASSOCIATION? OR RELAT???)
S2	16159017	S (CREDITOR? ? OR LENDER? ? OR CREDIT(2N)EXTEND??? OR BANK? ? OR (FINANCIAL OR CREDIT OR CLEARING) () (INSTITUTION? ? OR ENTITY OR ENTITIES OR HOUSE? ?) OR CLEARINGHOUSE? OR LOAN???)
S3	5650486	S BORROW? OR LOAN(3N) (RECEIV?? ? OR ACCEPT?) OR DEBT OR (MONEY OR MONIES OR CAPITAL OR LIQUIDI?) (3N)BORROW???
S4	1130028	S (AMOUNT OR VALUE OR QUANTITY) (7N) (MATCH?? OR CORRESPOND? OR CORRELAT???)

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*File 371: This file is not currently updating. The last update is 200209.

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Set      Items  Description
S1       291010  S (OFFER? ? OR PROGRAM? OR SALE? ? OR QUOTE? ? OR BID? ?) (7N) (MATCH?? OR
CORRESPOND? OR CORRELAT??? OR CONFORM OR ASSOCIAT??? OR MAPP??? OR LINK??? OR COUPL??? OR
JOIN??? OR RELAT?? OR RELATIONSHIP? ? OR INTERRELAT?? OR INTERCONNECT??? OR CONNECT??? OR
INTERDEPEND? OR INTERACTION OR AFFILIATION? OR ASSOCIATION? OR RELAT???)
S2       638886  S (CREDITOR? ? OR LENDER? ? OR CREDIT(2N)EXTEND??? OR BANK? ? OR
(FINANCIAL OR CREDIT OR CLEARING) () (INSTITUTION? ? OR ENTITY OR ENTITIES OR HOUSE? ?) OR
CLEARINGHOUSE? OR LOAN???)
S3       188297  S BORROW? OR LOAN(3N) (RECEIV?? ? OR ACCEPT?) OR DEBT OR (MONEY OR MONIES
OR CAPITAL OR LIQUID?) (3N) BORROW???
S4       443280  S (AMOUNT OR VALUE OR QUANTITY) (7N) (MATCH?? OR CORRESPOND? OR CORRELAT???
OR CONFORM OR ASSOCIAT??? OR MAPP??? OR LINK??? OR COUPL??? OR JOIN??? OR RELAT?? OR
RELATIONSHIP? ? OR INTERRELAT?? OR INTERCONNECT??? OR CONNECT??? OR INTERDEPEND? OR
INTERACTION OR AFFILIATION? OR ASSOCIATION? OR RELAT???)
S5       301971  S (REVENUE? ? OR FEE? ? OR PAYMENT? ? OR COST? ? OR PRICE? ? OR CHARGE?
?) (3N) (MATCH?? OR CORRESPOND? OR CORRELAT??? OR CONFORM OR ASSOCIAT??? OR MAPP??? OR
LINK??? OR COUPL??? OR JOIN??? OR RELAT?? OR RELATIONSHIP? ? OR INTERRELAT?? OR
INTERCONNECT??? OR CONNECT??? OR INTERDEPEND? OR INTERACTION OR AFFILIATION? OR
ASSOCIATION? OR RELAT???)
S6       61650   S (NOTIFICATION OR NOTIFY OR NOTIFYING OR ANNOUNC? OR ALERT??? OR ADVIS???
OR INFORM??? OR POST??? OR REPORT???) (7N) (SUBMITTING OR SUBMIT OR SEND OR SENDING OR
TRANSFER OR TRANSFERRING OR FORWARD OR FORWARDING OR PASS OR PASSING OR TRANSMIT OR
TRANSMITTING OR COMMUNICATE OR COMMUNICATING OR EXCHANG?)
S7       185     S MUTUAL(3N) EXCHANGE(3N) SECURIT???
S8       2233    S AU=( LOCKWOOD, D? OR LOCKWOOD D? OR LOCKWOOD(2N) DAVID)
S9       1       S S8 AND S1
S10      5742    S S1 AND S2
S11      529     S S10 AND S3
S12      26     S S11 AND S4
S13      2      S S12 NOT PY>1999
S14      2      S S13 NOT S9
S15      40     S S11 AND S5
S16      25     RD S15 (unique items)
S17      15     S S15 NOT S16
S18      15     IDPAT S17 (sorted in duplicate/non-duplicate order) FROM 344, 347, 350,
371
S19      15     IDPAT S17 (primary/non-duplicate records only) FROM 344, 347, 350, 371
S20      13     S S7 AND S6
S21      1      S S20 AND S1
S22      0      S S21 NOT S9
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